

The opinion in support of the decision being entered today was not written for publication and is not binding precedent of the Board.

Paper No. 16

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE BOARD OF PATENT APPEALS  
AND INTERFERENCES

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**MAILED**

**SEP 30 2003**

**PAT. & T.M. OFFICE  
BOARD OF PATENT APPEALS  
AND INTERFERENCES**

*Ex parte* BERNARD A. WEINSTEIN,  
STEVEN BONGIOVANNI,  
and  
KEVIN J. FLYNN

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Appeal No. 2002-0719  
Application No. 08/863,037

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ON BRIEF

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Before KRATZ, TIMM, and MOORE, *Administrative Patent Judges*.  
MOORE, *Administrative Patent Judge*.

REMAND TO THE EXAMINER

Our consideration of the record leads us to conclude that this case is not in condition for a decision on appeal. Accordingly, we remand the application to the examiner to consider the following issues and to take appropriate action.

REPRESENTATIVE CLAIM

Claim 1 is representative of the claims on appeal, and reads as reproduced below.

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1. A system for providing notification of market information, which comprises:

a user computer for specifying a market condition to be monitored and a corresponding client ID;

an electronic source of updated market data;

a host computer system for receiving and storing a plurality of the market conditions specified for monitoring and the corresponding client IDs;

confirmation data generated and transmitted by said host computer system upon receipt of the specified market condition to be monitored and the corresponding client ID, said confirmation data indicating that the specified market condition has been received by said host computer and will be monitored;

a monitoring program executable on said host computer system for comparing each of said specified market conditions stored on said host computer system and said source of updated market data, to determine if a specified market condition is found in said source of updated market data, said monitoring program generating a signal if a specified market condition is found to exist, the signal indicative of the found specified market condition and the corresponding client ID stored on said host computer system; and

a transmitter responsive to said signal for transmitting notification of the specified market condition.

#### The References

In rejecting the claims under 35 U.S.C. § 103(a), the examiner relies upon the following references:

Higgins	5,270,922	Dec. 14, 1993
Vanden Huevel et al. (Vanden Huevel)	5,281,962	Jan. 25, 1994
Potter et al. (Potter)	5,787,402	Jul. 28, 1998

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We cite the following additional references:

Wiseman	5,168,446	Dec. 01, 1992
Cannon et al. (Cannon)	5,423,086	Jun. 06, 1995

#### The Rejections

Claims 1-2, 4, 11-12, and 14-17 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Potter in view of Higgins.

Claims 3 and 13 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Potter and Higgins, as applied to claims 1 and 11, further in view of Vanden Huevel.

#### The Invention

The invention relates to a system for providing market information to a user. A user computer is utilized to specify a market condition to be watched, a server confirms receipt of the watch request. The server runs software, which compares the watch request to updated market data. When the market condition is found to exist (i.e. IBM at 100), the user is notified, in a preferred embodiment by email. See claims 1 and 3, reproduced above, for further details of the claimed invention.

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I. The Rejection of Claims 1-2, 4, 11-12, and 14-17 under 35 U.S.C. §103(a) as being unpatentable over Potter in view of Higgins

The examiner has found that Potter teaches a method and system for performing automated financial transactions involving foreign currencies which comprises a user computer for specifying a market condition to be monitored and a corresponding client ID; an electronic source of market data; a host computer system including a database for receiving and storing a plurality of the market conditions specified for monitoring and the corresponding client IDs; confirmation data generated and transmitted by said host computer system upon receipt of the specified market condition and corresponding client ID by said database; said confirmation data indicating that the specified market condition has been received by the host computer and will be monitored, and a transmitter responsive to said signal for transmitting notification of the specified market condition. (Examiner's Answer, paragraph numbered 2, spanning pages 3 and 4).

The examiner has additionally found that Higgins teaches a system for distributing, processing, and displaying financial information which comprises a monitoring program executable on the host computer system for comparing each of the specified market conditions stored on a host computer system to a source for updated market data to determine if a specified market

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condition is found in a source of updated market data, the program generating a signal if the condition is found to exist, for the purpose of communicating and displaying information to brokers, investors, and others concerned with financial markets. (Examiner's Answer, paragraph numbered 4, spanning pages 4 and 5).

The examiner thus concludes that it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included an updated source of electronic market data and a monitoring system on a host computer to compare data and determine if a market condition exists, the monitoring system generating a signal, for the purpose of providing information to those concerned with financial markets (Examiner's Answer, paragraph numbered 5, page number 5).

The appellants, on the other hand, argue that all three independent claims call for a system for providing notification of market information in which a user computer is used to specify a market condition to be monitored, which specified market condition is stored upon a host computer. Upon receipt of the condition to be monitored, the host computer generates and transmits a confirmation. The monitoring program compares the specified market conditions and the source of market data, when a specified market condition is found to exist, the monitoring

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program generates and transmits a signal (Appeal Brief, page 5, lines 6-17).

The appellants additionally urge that Potter teaches sending confirmation only after the user's desired terms are found to exist, whereas the instant claims are said to require two separate signals to be sent if the market condition is found to exist. (Appeal Brief, page 6, lines 6-23).

In response, the examiner asserts that "When using computer to computer transactions, and a given market condition is requested to be monitored by a consumer, it would have been obvious to the skilled artisan to also submit a confirmation notice to the consumer to ascertain that the correct market and parameters associated with the consumer's preference data are the ones being monitored. A motivation would have been to prevent the wrong market condition to be monitored which may cause a catastrophical [sic] and damaging impact on both the consumer and the financial firm. (Examiner's Answer, page 7, lines 7).

The appellants have not responded to this assertion in the examiner's answer.

The examiner further asserts that the claims do not specify when confirmation exists, or that the signal be separated from the confirmation data. (Examiner's Answer, page 7, lines 16-19).

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It is by now well understood that it is an applicants' claims which define the subject matter for which they seek protection. United Carbon Co. v. Binney & Smith Co., 317 U.S. 228, 232, 55 USPQ 381, 383-384 (1942) (citing General Electric Co. v. Wabash Appliance Corp., 304 U.S. 364, 369, 37 USPQ 466, 468-469 (1938); In re Zletz, 893 F.2d 319, 321, 322, 13 USPQ2d 1320, 1322 (Fed. Cir. 1989); SRI Int'l. v. Matsushita Elec. Corp., 775 F.2d 1107, 1121, 227 USPQ 577, 586 (Fed. Cir. 1985) (en banc)). Thus, we begin our review by determining what is the scope and content of appellants' claims here on appeal.

First, we note that we disagree with the examiner's interpretation of the claims. Claim 1 requires that confirmation data is generated and transmitted by the host computer upon receipt of the specified market condition. This is directly contrary to the examiner's interpretation that such data could be "immediately upon receipt or later ... after trade." (Examiner's Answer, page 7, line 17). Accordingly, we conclude that an immediate confirmation is required by the claims on appeal.

Second, we note that there are conflicting viewpoints regarding the Potter reference advanced in the examiner's answer. First, in the rejection, it is stated that Potter discloses "...confirmation data generated and transmitted by said host computer system upon receipt of the specified market condition

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and corresponding client ID by said database." (Examiner's Answer, page 4, lines 1-3). We note that this statement is without any citation to the record for support (although the Final Rejection, paper #12, page 4, lines 1-2 implies support can be found at column 3, lines 1-11 and 37-42; we have found no evidence supporting this contention there).

Then in responding to the appellants' argument, it is asserted that "it would have been obvious to the skilled artisan to also submit a confirmation notice to the consumer to ascertain that the correct market and parameters associated with the consumer's preference data are the ones being monitored." (Examiner's Answer, page 7, lines 2-5).

We, therefore, are unsure if the examiner has abandoned his earlier position, has modified it, or is maintaining it. We are constrained to remand this application, if for no other reason than to clarify these conflicting statements.

Furthermore, our independent review of Potter reveals that it discloses a system that currency trading customers can access from their personal computer. (Column 3, lines 15-22). The system, automatically accepts, monitors, and executes so-called "leave" orders (column 3, lines 48-50). The customer has a user name (ID; column 5, lines 50-60) and password, which is used to log into a central server system (column 4, lines 60-65). A



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client making a leave order for forward trading (column 12, lines 19-25) is presented with an FX order blotter, which summarizes placed orders (column 12, lines 30-35).

In the leave order Management Mode, for an Order Entry or Order Management user, the client may cancel a leave order at any time (column 12, lines 45-58). To determine whether an order will autoexecute, a user can assign an Active order the attributes of either notify or autoexecute, or both. (Column 14, lines 9-12). When the order information is entered, the order blotter displays the information, then sends it to the FX order server. (Column 13, lines 44-50). The Order Blotter also has an edit mode to edit pending orders. (Column 13, lines 51-54). The FX order server transmits audio and visual warnings of the market conditions received from a Rate server, and as the pricing gets within 3% then 1% of the desired condition (column 14, lines 14-21).

In plain language, what this appears to mean is that a user of this system (a novice or professional trader) has a user computer and ID for monitoring a market condition (rates) for potential pending trades. The user receives a message confirming the monitoring in the form of pending trades or notifications on the FX order blotter simultaneously with sending it to the FX order database. When the rate server (electronic source of

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updated market data) indicates the rate is getting close, it transmits audio and visual signals notifying the specified market condition.

Accordingly, we additionally remand this application to the examiner for consideration of whether the newly cited portions of Potter render the claimed subject matter obvious, or even anticipated, in accord with current examination policy and procedure.

Finally, in our review of the prior art, we uncovered Wiseman, US 5,168,446. At column 4, lines 5-10, we note that Wiseman teaches confirming pending trades, when the trades fall outside certain limitations. It seems to us that this might provide some additional evidentiary support for avoiding financial catastrophe in a similar system by confirming data.

Furthermore, Cannon, US 5,423,086, discloses e-mail as a convenient way of receiving stock quotes from a server (column 1, lines 31-38). The examiner is therefore directed to additionally consider these references.

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APPROPRIATE ACTION

Accordingly, the subject application is being returned to the jurisdiction of the examiner, via the office of a Director of the Technology Center involved, for:

1) Clarification of the examiner's position vis-à-vis the disclosure of Potter concerning notification of the market condition to be monitored;

2) Consideration, in a manner consistent with current examination practice and procedure, of whether the newly-cited portions of Potter anticipate or would have rendered obvious, the claimed subject matter; and

3) Consideration, in a manner consistent with current examination practice and procedure, of the two additional references provided herewith, and whether they, in conjunction with the art already of record, further render the claimed subject matter unpatentable.

We remand this application to the examiner for further treatment consistent with the above discussion.

We state that we are not authorizing a Supplemental Examiner's Answer under 37 CFR § 1.193(b)(1).

This application, by virtue of its "special" status, requires an immediate action. Manual of Patent Examining Procedure § 708.01 (7th ed., rev. 1, February 2000). It is


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important that the Board be informed promptly of any action  
affecting the appeal in this case.

REMANDED

  
PETER F. KRATZ )  
Administrative Patent Judge )

  
CATHERINE TIMM )  
Administrative Patent Judge )

  
JAMES T. MOORE )  
Administrative Patent Judge )

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